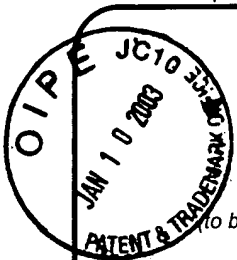


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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/464,416

Filing Date 12/16/1999

First Named Inventor Yasmin Thanavala

Group Art Unit 1654

Examiner Name Michele Flood

Total Number of Pages in This Submission 254

Attorney Docket Number RPP:156B US

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## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Supplemental Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Dunn & Associates

Signature

Date

Jan 7, 2003

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

Typed or printed name

Michael L. Dunn

Signature

Date

Jan 7, 2003

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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

**Complete if Known**

|                      |                  |
|----------------------|------------------|
| Application Number   | 09/464,416       |
| Filing Date          | 12/16/1999       |
| First Named Inventor | Yasmin Thanavala |
| Examiner Name        | Michele Flood    |
| Group Art Unit       | 1654             |
| Attorney Docket No.  | RPP:156B US      |

**METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number  
04-1790  
Deposit  
Account  
Name☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status.  
See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 101      | 740      | 201      | 370      | Utility filing fee     |          |
| 106      | 330      | 206      | 165      | Design filing fee      |          |
| 107      | 510      | 207      | 255      | Plant filing fee       |          |
| 108      | 740      | 208      | 370      | Reissue filing fee     |          |
| 114      | 160      | 214      | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** =      | X              | =        |
| Multiple Dependent | -3** =       | X              | =        |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|----------|----------|----------|----------|--|
| 103      | 18       | 203      | 9        | Claims in excess of 20                                     |
| 102      | 84       | 202      | 42       | Independent claims in excess of 3                          |
| 104      | 280      | 204      | 140      | Multiple dependent claim, if not paid                      |
| 109      | 84       | 209      | 42       | ** Reissue independent claims over original patent         |
| 110      | 18       | 210      | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

\*\*or number previously paid; if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105                   | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  |          |
| 127                   | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                   | 130                   | 139                   | 130                   | Non-English specification  |          |
| 147                   | 2,520                 | 147                   | 2,520                 | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                   | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113                   | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 115                   | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116                   | 400                   | 216                   | 200                   | Extension for reply within second month                                    |          |
| 117                   | 920                   | 217                   | 460                   | Extension for reply within third month                                     |          |
| 118                   | 1,440                 | 218                   | 720                   | Extension for reply within fourth month                                    |          |
| 128                   | 1,960                 | 228                   | 980                   | Extension for reply within fifth month                                     |          |
| 119                   | 320                   | 219                   | 160                   | Notice of Appeal   |          |
| 120                   | 320                   | 220                   | 160                   | Filing a brief in support of an appeal                                     |          |
| 121                   | 280                   | 221                   | 140                   | Request for oral hearing   |          |
| 138                   | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140                   | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141                   | 1,280                 | 241                   | 640                   | Petition to revive - unintentional   |          |
| 142                   | 1,280                 | 242                   | 640                   | Utility issue fee (or reissue)   |          |
| 143                   | 460                   | 243                   | 230                   | Design issue fee   |          |
| 144                   | 620                   | 244                   | 310                   | Plant issue fee  |          |
| 122                   | 130                   | 122                   | 130                   | Petitions to the Commissioner  |          |
| 123                   | 50                    | 123                   | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 126                   | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581                   | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146                   | 740                   | 246                   | 370                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                   | 740                   | 249                   | 370                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                   | 740                   | 279                   | 370                   | Request for Continued Examination (RCE)                                    |          |
| 169                   | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)

Michael L. Dunn

Registration No.  
(Attorney/Agent)

25,330

Telephone

716-433-1661

Signature

Date

Jan 7, 2003

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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RPH:156B US  
TECH CENTER 1600/2900

Applicants: Yasmin Thanavala

Art Unit: 1654

Serial No: 09/464,416

Confirmation No: 7504

Filed: December 16, 1999

I certify that this Supplemental Information Disclosure Statement is being deposited on January 7, 2003 with the U.S. Postal

Examiner: Michele Flood

Service as first class mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

For: ORAL IMMUNOLOGY USING  
PLANT PRODUCT CONTAINING  
A NON-ENTERIC PATHOGEN  
ANTIGEN

Michael L. Dunn

Registration No. 25,330

#25/JR  
01-15-03

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following literature citations are being provided in compliance with Applicant's and his attorneys' duty of candor and good faith under 37 C.F.R. 1.56, 1.97 and 1.98. The citations are recorded on the accompanying Form PTO-1449. A copy of each reference is included herewith.

A communication (European Search Report) from the European Patent Office issued November 20, 2002 and disclosed the attached references which have not been previously cited by Applicants in an Information Disclosure Statement.

I hereby certify that each item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

Dated: January 7, 2003

Respectfully submitted,

Michael L. Dunn

Attorney for Applicant(s)

Reg. No. 25,330

P.O. Box 10

Newfane, New York 14108

Telephone: (716) 433-1661

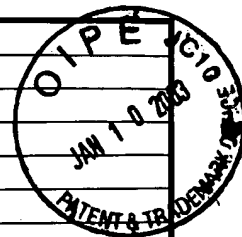
MLD/cah  
Enclosures

cc: M. DeLellis  
P. Debbie

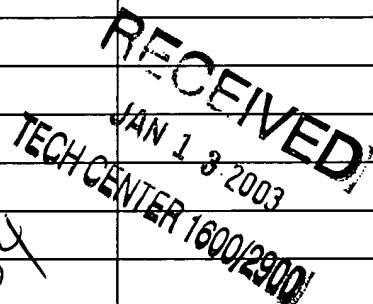


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|---|-------------|-----------------------------|-------------------|
| Substitute for form 1449A/PTO   |             | <b>Complete if Known</b>    |                   |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>(use as many sheets as necessary) |             | <b>Application Number</b>   | 09/464,416        |
|   |             | <b>Filing Date</b>          | December 16, 1999 |
|   |             | <b>First Named Inventor</b> | Yasmin Thanavala  |
|   |             | <b>Art Unit</b>             | 1654              |
|   |             | <b>Examiner Name</b>        | Michele Flood     |
| <b>Attorney Docket Number</b>   | RPP:156B US |                             |                   |
| Sheet   | 1           | of                          | 2                 |



| U.S. PATENT DOCUMENTS |                       |  |                                |  |   |
|-----------------------|-----------------------|--|--------------------------------|--|---|
| Examiner Initials*    | Cite No. <sup>1</sup> | DOCUMENT NUMBER                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       |                       | US-5,182,109                             |                                | S. Tamura, et al.                                  | Claim 7, Examples 4, 12, 20   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |



| FOREIGN PATENT DOCUMENTS |                       |   |                                |  |   |                |
|--------------------------|-----------------------|---|--------------------------------|--|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document     | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear | T <sup>6</sup> |
|                          |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                          |                       | WO 94/20135   | 09-15-1994                     | Edible Vaccines, Inc.                                  | Page 14, line 23; Page 17, line 23; Examples 3,4                                |                |
|                          |                       | WO 00/37610   | 06-29-2000                     | Boyce Thompson Institute for Plant Research at Cornell | The entire document   |                |
|                          |                       |   |                                |  |   |                |
|                          |                       |   |                                |  |   |                |
|                          |                       |   |                                |  |   |                |

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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| Substitute for form 1449B/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(use as many sheets as necessary)</i> |   |    |   | <b>Complete if Known</b> |                   |
|   |   |    |   | Application Number       | 09/464,416        |
|   |   |    |   | Filing Date              | December 16, 1999 |
|   |   |    |   | First Named Inventor     | Yasmin Thanavala  |
|   |   |    |   | Group Art Unit           | 1654              |
|   |   |    |   | Examiner Name            | Michele Flood     |
|   |   |    |   | Attorney Docket Number   | BPP:156B US       |
| Sheet   | 2 | of | 2 |                          |                   |

[illegible]

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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